

11/13/00  
JC948 U.S. PTO

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Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

|   |  |  |
|---|--|--|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b).)</small> | Attorney Docket No. SD-8310  |  |
|   | First Inventor or Application Identifier MESCHER                           |  |
|   | Title LITHOGRAPHY PROCESS FOR PATTERNING HgI <sub>2</sub> PHOTONIC DEVICES |  |
|   | Express Mail Label No. EK770676429US                                       |  |

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and duplicate for fee processing)

2. ☒ Specification [Total Pages **21**]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **2**]

4. ☒ Oath or Declaration [Total Pages **4**]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attaced deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

**ADDRESS TO:** Box Patent Application  
Assistant Commissioner for Patents  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)

6. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))

8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee)

9. ☐ English Translation Document (if applicable) ☐ Power of Attorney

10. ☐ Information Disclosure Statement (IDS)/PTO-1449

11. ☐ Preliminary Amendment ☐ Copies of IDS Citations

12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

13. ☐ \*Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09/12)

14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

15. ☐ Other: \_\_\_\_\_

**16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:**

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label **0215868** or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

|                   |                              |                                   |                |
|-------------------|------------------------------|-----------------------------------|----------------|
| Name              | Timothy Evans                |                                   |                |
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|                   |                              | Zip Code                          | 94550          |
|                   |                              | Fax                               | (925) 294-3389 |
| Name (Print/Type) | Timothy P. Evans             | Registration No. (Attorney/Agent) | 41,013         |
| Signature         |                              | Date                              | 11/13/00       |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FILES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL FOR FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement.  
Otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT (\$)**980.00**

## Complete if Known

|                      |              |
|----------------------|--------------|
| Application Number   | not assigned |
| Filing Date          | 11/13/2000   |
| First Named Inventor | MESCHER      |
| Examiner Name        | not assigned |
| Group / Art Unit     | not assigned |
| Attorney Docket No.  | SD-8310      |

## METHOD OF PAYMENT (check one)

The Commissioner is hereby authorized to charge

1. ☒ indicated fees and credit any over payments to:

Deposit Account Number **50-0583**

Deposit Account Name **SNL by KCO**

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101            | 690             | 201            | 380             | Utility filing fee     | 710.     |
| 106            | 310             | 206            | 155             | Design filing fee      |          |
| 107            | 480             | 207            | 240             | Plant filing fee       |          |
| 108            | 690             | 208            | 380             | Reissue filing fee     |          |
| 114            | 150             | 214            | 75              | Provisional filing fee |          |

SUBTOTAL (1) (\$)**710.00**

### 2. EXTRA CLAIM FEES

|                             | Extra Claims     | Fee from below | Fee Paid        |
|-----------------------------|------------------|----------------|-----------------|
| Total Claims <b>35</b>      | -20**= <b>15</b> | x <b>18.</b>   | = <b>270.00</b> |
| Independent Claims <b>1</b> | -3**= <b>0</b>   | x <b>80.</b>   | = <b>0.00</b>   |
| Multiple Dependent          |                  |                | =               |

\*\*or number previously paid, if greater; For Reissues, see below.

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 103            | 18              | 203            | 9               | Claims in excess of 20                                    |
| 102            | 80              | 202            | 40              | Independent claims in excess of 3                         |
| 104            | 270             | 204            | 135             | Multiple dependent claim, if not paid                     |
| 109            | 80              | 209            | 40              | **Reissue independent claims over original patent         |
| 110            | 18              | 210            | 9               | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)**270.00**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Fee Code            | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|---------------------------|-----------------|----------------|-----------------|--|----------|
| 105                       | 130             | 205            | 65              | Surcharge - late filing fee or oath  |          |
| 127                       | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                       | 130             | 139            | 130             | Non-English specification  |          |
| 147                       | 2,520           | 147            | 2,520           | For filing a request for reexamination                                     |          |
| 112                       | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action                     |          |
| 113                       | 1,840           | 11             | 1,840           | Requesting publication of SIR after Examiner                               |          |
| 115                       | 110             | 215            | 55              | Extension for reply within first month                                     |          |
| 116                       | 390             | 216            | 195             | Extension for reply within second month                                    |          |
| 117                       | 890             | 217            | 445             | Extension for reply within third month                                     |          |
| 118                       | 1,390           | 218            | 695             | Extension for reply within fourth month                                    |          |
| 128                       | 1,890           | 228            | 945             | Extension for reply within fifth month                                     |          |
| 119                       | 310             | 219            | 155             | Notice of Appeal   |          |
| 120                       | 310             | 220            | 155             | Filing a brief in support of an appeal                                     |          |
| 121                       | 270             | 221            | 135             | Request for oral hearing   |          |
| 138                       | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                              |          |
| 140                       | 110             | 240            | 55              | Petition to revive - unavoidable   |          |
| 141                       | 1,240           | 241            | 620             | Petition to revive - unintentional   |          |
| 142                       | 1,240           | 242            | 620             | Utility issue fee (or reissue)   |          |
| 143                       | 440             | 243            | 220             | Design issue fee   |          |
| 144                       | 600             | 244            | 300             | Plant issue fee  |          |
| 122                       | 130             | 122            | 130             | Petitions to the Commissioner  |          |
| 123                       | 50              | 123            | 50              | Petitions related to provisional applications                              |          |
| 126                       | 240             | 126            | 240             | Submission of Information Disclosure Stmt                                  |          |
| 581                       | 40              | 581            | 40              | Recording each patent assignment per property (times number of properties) |          |
| 146                       | 710             | 246            | 355             | Filing a submission after final refection (37 CFR 1.129(a))                |          |
| 149                       | 710             | 249            | 355             | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| Other fee (specify) _____ |                 |                |                 |  |          |
| Other fee (specify) _____ |                 |                |                 |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type) **Timothy P. Evans**

Signature

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038

## Complete (if applicable)

Reg. Number (Attorney/Agent) **41,013**

Telephone **(925) 294-3690**

Date

**11/13/00**